

A.D. 1.7, Research - REVISED 1/17/98

Prepared for signature 3/31/98 - effective 5/1/98

1. Policy. The Department shall conduct and support research that will improve operations, enhance professional knowledge, and advance the agency's mission.
2. Authority and Reference.
  - A. Code of Federal Regulations (45 CFR 46) March 16, 1983.
  - B. Connecticut General Statutes, Section 18-81.
  - C. American Correctional Association, Standards for the Administration of Correctional Agencies, Second Edition, April 1993, Standards 2-CO-1F-9 through 2-CO-1F-15.
  - D. American Correctional Association, Standards for Adult Probation and Parole Field Services, Second Edition, March 1981, Standards 2-3096 through 2-3099 and 2-3101 and 2-3102.
  - E. American Correctional Association, Standards for Adult Correctional Institutions, Third Edition, January 1990, Standards 3-4105 through 3-4110.
  - F. American Correctional Association, Standards for Adult Local Detention Facilities, Third Edition, March 1991, Standards 3-ALDF-1F-09 through 3-ALDF-1F-11.
3. Definition. For the purposes stated herein, the following definition applies:

Research. The testing of a theory or hypothesis through scholarly or scientific investigation or inquiry.
4. Proposal Submission. Any request for research, regardless of source, shall be directed to the Deputy Commissioner of Programs.
  - A. Proposal Content. Research requests and proposals shall be presented in the following format:
    1. project title;
    2. identify the principal investigator to include a curriculum vitae/resume;
    3. a summary of the proposal not to exceed 500 words;
    4. purpose of project including a statement of the problem to be addressed, whether theoretical or applied, and a discussion of significance to the Department;
    5. a presentation of the theory or hypothesis to be investigated;
    6. procedures to include:
      - a. a description of the research methods to be used including operational definition of concepts, statement of hypothesis;
      - b. the design (e.g., experimental, quasi-experimental, survey) including sampling techniques and size;
      - c. method of data collection and analysis with a copy of the data collection instrument(s);
      - d. provision for reliability and validity testing; and
      - e. estimated time required for completion;

7. specific location where the research will be conducted;
8. timetable to include project schedule;
9. name and credential of each person assisting the principal investigator;
10. source and amount of funding to include payment for participation, if applicable;
11. project budget;
12. findings of the human subject review committee;
13. publication and/or reporting plans; and
14. participant confidentiality.

The principal investigator shall execute the Research Nondisclosure Agreement, form CN 1701, Attachment A. All others who may have access to the restricted data shall be bound by the same nondisclosure requirements.

- B. Review. The Deputy Commissioner of Programs (or designee) shall review the proposed project for compliance with the conditions of Section 4(A) above.
  - C. Project Review. The Deputy Commissioner of Programs (or designee) shall distribute the proposal to the affected unit(s). The Unit Administrator shall recommend to the appropriate Division Head(s), through the chain of command, the acceptance, conditional acceptance or denial of the project. Projects affecting more than one division's activities (functional impact) shall require the approval of each affected Division Head.
5. Proposal Disposition. The Deputy Commissioner of Programs shall review the proposal along with staff recommendations, either personally or through an appointed research committee. The project shall be approved, amended or denied. Denied proposals may be appealed to the Commissioner.
  6. Site Liaison. The Unit Administrator of the research site(s) shall designate a person to serve as a liaison for the project.
  7. Review Prior to Publication. No research shall be published without the written authorization of the Deputy Commissioner of Programs.
  8. Reports. The Department shall receive three (3) complete copies of all completed reports. A copy of each report shall be submitted by the researcher to the following:
    - A. Connecticut State Library;
    - B. National Criminal Justice Reference Service;
    - C. National Institute of Corrections Information Center; and
    - D. University of Michigan Criminal Justice Archives.
  9. Costs. Project costs shall be borne by the principal researcher consistent with the project budget. Any extraordinary cost shall also be borne by the principal researcher except as specifically exempted by the Deputy Commissioner of Programs.
  10. Voluntary Consent. The principal investigator shall have each identifiable participant sign an individual Voluntary Consent form to

include:

- A. A complete description of all aspects of the project.
- B. A description of any authorized compensation to be provided.
- C. An assurance that voluntary participation does not provide latent benefits beyond the terms of participation, nor that failure to participate or complete the project will bring adverse action.
- D. Date and signature of the participant and investigator.

The signed consent form shall be distributed to the participant, the unit liaison, and the principal investigator for later review if necessary.

- 11. Medical, Pharmaceutical and Cosmetic Testing. Any utilization of an inmate to test medical procedures, pharmaceutical products or cosmetics shall be prohibited. This prohibition shall not preclude the use of individual treatment of an inmate by a physician based upon the individual's need for a specific medication or treatment not generally available. However the inmate's participation shall be limited to those situations, as determined by a physician, where no other drug has been approved for the illness, where the inmate is unable to tolerate the commonly available treatment, or where no approved drugs have been affective. An inmate's involvement shall be consistent with federal regulations.

- 12. Cancellation. A research project may be canceled by the Deputy Commissioner of Programs or by the principal researcher if the project:
  - A. Is not being conducted as authorized in the proposal; or
  - B. If the project is having an adverse effect.

The cancellation may be appealed to the Commissioner.

- 13. Research Program. The Director of Research and Management Information Systems shall survey Unit Administrators for topics of research interest. The results of the survey shall be compiled and disseminated to select colleges and universities. The Director may apply for and receive funds from federal, state or private sources to conduct research and may solicit desired research projects.
- 14. Surveys and Questionnaires. Basic questionnaires soliciting information, or readily aggregated data, shall not be subject to the procedures specified in this directive. Such requests shall normally be forwarded to the Office of the Commissioner for appropriate action.
- 15. Exceptions. Any exception to the procedures in this Administrative Directive shall require prior written approval from the Commissioner.

ATTACHMENT A  
CONNECTICUT DEPARTMENT OF CORRECTION  
RESEARCH NONDISCLOSURE AGREEMENT

PROJECT TITLE \_\_\_\_\_ DOC NO. \_\_\_\_\_

INFORMATION REQUESTED BY \_\_\_\_\_ TITLE \_\_\_\_\_

AFFILIATION/SPONSOR \_\_\_\_\_

Correction employee authorized to release data and required to make a record of the recipient and the general nature of the request:

NAME \_\_\_\_\_

Description of information to be authorized for research \_\_\_\_\_

In return for use of Department records, derived information, and/or access to subjects, the undersigned agrees to the following clauses concerning dissemination of information. This agreement is in addition to any other required under state or federal guidelines.

- A. All information given the researcher(s) shall be granted through the administrative procedures established by the Department by persons authorized by the Commissioner. No further material, including validating study of material authorized for use, may be gathered without specific permission of the Department. Information sources are considered to include both subjects of experiments and departmental personnel, employees, agents, etc.
- B. Some information given the researcher(s) by the Department may be subject-identifiable, either directly or by inference. In such cases, the researcher is specifically enjoined from use of that material in a manner which might lead to identification of the subject(s) by a reader. This identification may be either a specific individual or a closely-defined set of individuals, and may include any factor, such as non-scrambled inmate numbers.
- C. When the study has been completed, all materials which are supplied by the Department, or which name specific individuals or groups, or may be interpreted to derive names of individuals or groups, shall be returned to the Department for disposition. This rule shall include all copies and all sets and subsets of materials. Access to these materials shall be in accordance with Administrative Directive 4.4, Access to Information.
- D. Within the research group, the principal investigator shall be required to exercise judgment concerning dissemination of individual-specific information. Procedures such as automatic concealment of identity before statistical processing shall be established to permit control on a need-to-know basis.
- E. Notwithstanding any previous agreements, the Department reserves the right to deny dissemination of information which becomes or is determined to be security sensitive. This provision shall be designed to protect institutional safety and security.
- F. The subject(s) of the research reserve their rights regarding the use and accuracy of personal information. Individual subject(s) requests for access to and verification of any personal material related to the research project shall be handled in accordance with Administrative Directive 4.4, Access to Information.
- G. Some information given the researcher(s) may be non-verified, and provided only as indicative assistance in preparing the project. In such cases, the material shall be so identified, and reuse, quotation, display or dissemination in its original format shall be prohibited without signed permission by an authorized departmental representative.

SIGNED FOR THE DEPARTMENT BY: \_\_\_\_\_

SIGNED FOR THE RECIPIENT: \_\_\_\_\_

DATE \_\_\_\_\_

DATE \_\_\_\_\_